

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re: Zhibo Zhang et al.

Serial No.: To Be Assigned

Filed: Concurrently Herewith

For: OPTOELECTRONIC DEVICES HAVING ARRAYS OF QUANTUM-DOT COMPOUND
SEMICONDUCTOR SUPERLATTICES THEREIN

Date: January 20, 2004

Mail Stop Patent Application
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT

Sir:

Attached is a list of documents on form PTO-1449. Items 1-45 listed on the PTO-1449 were cited in parent application Serial No. 10/178,941, filed June 24, 2002. As the benefit of this application is claimed under 35 U.S.C. § 120, no copies need to be furnished in accordance with 37 C.F.R. § 1.98(d); however, copies will be furnished on request. It is requested that these documents be considered by the Examiner and officially made of record in accordance with the provisions of 37 C.F.R. § 1.56 and Section 609 of the MPEP.

No fee is believed due. However, the Commissioner is hereby authorized to charge any deficiency or credit any overpayment to Deposit Account No. 50-0220.

Respectfully submitted,


Grant L. Scott
Registration No. 36,925

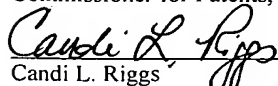
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Candi L. Riggs

Substitute form 1449A/PTO				Complete if Known	
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (use as many sheets as necessary)				Application Number	
				To Be Assigned	
				Filing Date	
				Concurrently Herewith	
				First Named Inventor	
				Zhibo Zhang	
				Group Art Unit	
				Examiner Name	
Sheet 1 of 2				Attorney Docket Number 5051-563DV	

U.S. PATENT DOCUMENTS						
Examiner Initials*	Cite No.	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code (if known)			
	1.	6,359,288	B1	Ying et al.	03-19-2002	
	2.	6,231,744	B1	Ying et al.	05-15-2001	
	3.	6,034,468		Wilshaw	03-07-2000	
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	5.	5,581,091		Moskovits et al.	12-03-1996	
	6.	6,044,981		Chu et al.	04-2000	
	7.	5,306,661		Tonucci et al.	04-1994	
	8.	6,177,291		Eriguchi et al.	01-2001	

FOREIGN PATENT DOCUMENTS								
Examiner Initials*	Cite No.	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T
		Office	Number	Kind Code (if known)				
	9.	EP	0 178 831	B1	Alcan International Limited	08-07-1991		

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS				
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published		T
	10.	Auth, Christopher P., "Scaling Theory for Cylindrical, Fully-Depleted, Surrounding-Gate MOSFET's," IEEE Electron Device Letters, Vol. 18, No. 2, February 1997, pp. 74-76		
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	20.	Chen et al., "0.18µm Metal Gate Fully-Depleted SOI MOSFETs for Advanced CMOS Applications," 1999 Symposium on VLSI Technology Digest of Technical Papers, pp. 25-26.		
	21.	Fafard et al., "Lasing in quantum-dot ensembles with sharp adjustable electronic shells," Applied Physics Letters, Vol. 75, No. 7, August 16, 1999, pp. 986-988		
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Examiner Signature		Date Considered	
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*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

Substitute form 1449A/PTO INFORMATION DISCLOSURE STATEMENT BY APPLICANT <i>(use as many sheets as necessary)</i>		Complete if Known			
		Application Number	To Be Assigned		
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		First Named Inventor	Zhibo Zhang		
		Group Art Unit			
Examiner Name					
Sheet	2	of	2	Attorney Docket Number	5051-563DV

23.	Faist et al., "Mid-infrared field-tunable intersubband electroluminescence at room temperature by photon-assisted tunneling in coupled-quantum wells," Appl. Phys. Lett., Vol. 64, No. 9, February 28, 1994, pp. 1144-1146
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34.	Nam et al., "Lateral epitaxy of low defect density GaN layers via organometalliv vapor phase epitaxy," Applied Physics Letters, Vol. 71, No. 18, November 3, 1997, pp. 2638-2640
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